SUBSTITUTE FORM PTO-1449 (MODIFIED) 66605 JUL 07 1997 (37 CFR 1.98(b))	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use several sheets if necessary)	ATTY. DOCKET NO. IBM/04	SERIAL NO. 08/822993
		APPLICANT Joseph P. Bigus et al.	#2
		FILING DATE March 21, 1997	GROUP 2700

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		PATENT NUMBER						ISSUE DATE	PATENTEE	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
C.J	A.A	5	1	5	5	7	6	3	10/13/92	Bigus et al.	379	113	12/11/90
	A.B												
	A.C												
	A.D												
	A.E												
	A.F												
	A.G												
	A.H												
	A.I												
	A.J												
	A.K												

FOREIGN PATENTS OR PUBLISHED FOREIGN PATENT APPLICATIONS

		DOCUMENT NUMBER	PUBLICATION DATE	COUNTRY OR PATENT OFFICE	CLASS	SUBCLASS	TRANSLATION (YES/NO)
	A.L						
	A.M						
	A.N						
	A.O						
	A.P						
	A.Q						

OTHER DOCUMENTS (Including Author, Title, Date, Place of Publication)

C.J	A.R	Gilbert et al., "IBM Intelligent Agents", http://www.networking.ibm.com/iag/iagwp1.htm1, (1996).
C.J	A.S	"Commercial Expert System Shells", http://www.ioe.ac.uk/hgm/expert3.html, (1997).
C.J	A.T	"Commercial Software Packages for Neural Network Simulation", ftp://ftp.sas.com/pub/neural/FAQ6.html, (1997).

EXAMINER George Davis	DATE CONSIDERED 6/25/98

EXAMINER: Initial if citation considered, whether or not in conformance. Draw line through citation only if not in conformance and not considered. Include a copy of this form with next communication to applicant.

Substitute Disclosure Form (PTO-1449)

IBM Docket No. RO996-052

FORM PTO-1449 (Modified)		ATTY. DOCKET NO. RO996-052	SERIAL NO. 08/822,993
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary)		APPLICANT: Joseph P. Bigus et al.	
		FILING DATE: March 21, 1997	GROUP: Unassigned 2700

REFERENCE DESIGNATION   **U.S. PATENT DOCUMENTS**

EXAMINER INITIALS		DOCUMENT NUMBER							DATE	NAME	CLASS	SUB-CLASS	FILING DATE (IF APPRO.)
	AA	4	9	1	4	5	8	5	04/03/90	Packard et al.	364	200	05/23/88
	AB	5	0	7	3	8	9	0	12/17/91	Peter J. Danielsen	370	58.2	12/30/88
	AC	5	1	1	7	4	9	6	05/26/92	Stearns et al.	395	700	05/23/88
	AD	5	2	2	6	1	7	6	07/06/93	Westaway et al.	395	800	08/20/90
	AE	5	2	3	5	6	4	2	08/10/93	Wobber et al.	380	25	07/21/92
	AF	5	2	4	1	6	2	1	08/31/93	Ronald G. Smart	395	51	06/26/91
	AG	5	2	7	6	7	6	8	01/04/94	James L. Bander	395	10	03/20/91
	AH	5	3	0	1	3	2	0	04/05/94	McAtee et al.	395	650	06/28/91
	AI	5	3	1	7	6	8	8	05/31/94	Ralph T. Watson et al.	395	161	02/26/93
	AJ	5	3	2	5	5	2	8	06/28/94	Johannes Klein	395	650	04/22/93
	AK	5	3	2	9	6	2	6	07/12/94	Klein et al.	395	375	10/23/90

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER							DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION	
													YES	NO
AL	W	O	93	2	1	58	6		10/28/93					
AM	W	O	95	0	0	90	7		01/05/95					
AN	W	O	95	0	2	21	7		01/19/95					
AO	W	O	95	1	1	56	0		04/27/95					
AP	W	O	95	1	5	63	5		06/08/95					

OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)

	AR	A. D. Kwok et al., "A Development System for Intelligent Agent Manufacturing Software," Integrated Manufacturing Systems, 1994, Vol. 5 No. 4/5, pp. 64-76.
	AS	Barbara Hayes-Roth, "An architecture for adaptive intelligent systems," Artificial Intelligence, January 1995. Volume 72, Numbers 1-2, pp. 329-365.
	AT	Siegfried R. Bocionek, "Agent systems that negotiate and learn," International Journal of Human-Computer Studies, March 1995, Volume 42, No. 3, pp. 265-288.

EXAMINER	George Davis	DATE CONSIDERED	6/25/98

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FORM PTO-1449 (Modified)

LIST OF PATENTS AND PUBLICATIONS FOR
APPLICANT'S INFORMATION
DISCLOSURE STATEMENT

(Use several sheets if necessary)

ATTY. DOCKET NO. RO996-052	SERIAL NO. 08/822,993
APPLICANT: Joseph P. Bigus et al.	
FILING DATE: March 21, 1997	GROUP: 2700

REFERENCE DESIGNATION   **U.S. PATENT DOCUMENTS**

EXAMINER INITIALS		DOCUMENT NUMBER							DATE	NAME	CLASS	SUB-CLASS	FILING DATE (IF APPRO.)
C.J	BA	5	3	6	7	4	5	4	11/22/94	Kawamoto et al.	364	419.20	06/25/93
C.J	BB	5	3	6	7	6	3	5	11/22/94	Bauer et al.	395	200	08/29/91
C.J	BC	5	3	7	1	8	8	9	12/06/94	Johannes Klein	395	650	04/22/93
C.J	BD	5	3	9	2	3	4	5	02/21/95	Mary R. Otto	379	265	04/30/93
C.J	BE	5	3	9	8	0	1	2	03/14/95	Jeffrey H. Derby et al.	340	825.03	11/24/92
C.J	BF	5	4	0	8	4	7	0	04/18/95	Lewis V. Rothrock et al.	370	62	10/14/93
C.J	BG	5	4	2	1	0	1	3	05/30/95	Curtis A. Smith	395	650	07/08/93
C.J	BH	5	4	2	3	0	4	3	06/06/95	Fitzpatrick et al.	395	700	01/21/94
C.J	BI	5	4	6	5	2	8	6	11/07/95	Clare et al.	379	34	05/24/94
C.J	BJ	5	4	6	9	5	6	2	11/21/95	Christian D. Saether	395	182.18	06/26/92
C.J	BK	5	4	8	1	6	9	9	01/02/96	Christian D. Saether	395	182.13	03/23/95

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER							DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION	
													YES	NO
	BL	2	0	6	1	1	1	7	02/12/92	Application for Canadian Patent				
	BM	EP	0	51	9	10	9	A1	12/23/92	European			X	
	BN	EP	0	58	9	24	9	A2	03/30/94	European			X	
	BO	EP	0	59	8	53	4	A1	05/25/94	European			X	
	BP	EP	0	61	1	21	0	A1	08/17/94	European			X	

OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)

	BR	Darrell Woelk et al, "Uncovering the next generation of active objects," OBJECT magazine, July/August 1995, pp. 32-40.
	BS	Jan Ozer, "Totally Streaming Multimedia," CD-ROM Professional, August 1996, Volume 9 No. 8, pp. 54-66.
	BT	Barbara Hayes-Roth et al, "A Domain-Specific Software Architecture for Adaptive Intelligent Systems," IEEE Transactions on Software Engineering, April 1995, Vol. 21, No. 4, pp. 288-301.

EXAMINER George Davis	DATE CONSIDERED 6/25/98

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FORM PTO-1449 (Modified)	ATTY. DOCKET NO. RO996-052	SERIAL NO. 08/822,993
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT	APPLICANT: Joseph P. Bigus et al.	
(Use several sheets if necessary)	FILING DATE: March 21, 1997	GROUP: ~~Unassigned~~ 2700

REFERENCE DESIGNATION   U.S. PATENT DOCUMENTS

EXAMINER INITIALS		DOCUMENT NUMBER							DATE	NAME	CLASS	SUB-CLASS	FILING DATE (IF APPRO.)
C.D	CA	5	4	8	1	7	1	5	01/02/96	Hamilton et al.	395	700	12/15/93
G.D	CB	5	6	0	3	0	3	1	02/11/97	White et al.	395	683	07/08/93
	CC												
	CD												
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	CI												
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FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER							DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION YES	TRANSLATION NO
	CL	JP	3	19	5	1	4	1	1991	Japan			X	
	CM	JP	4	15	7	9	4	4	1992	Japan			X	
	CN	JP	4	25	6	1	0	1	1992	Japan				X
	CO	JP	5	32	4	0	0	9	1993	Japan				X
	CP	JP	6	17	5	9	4	4	1994	Japan			X	

OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)

	CR	Glenn R. Stearns, "Agents and the HP NewWave Application Program Interface," Hewlett-Packard Journal, August 1989, pp.32-37.
	CS	T.J. Grant, "A review of Multi-Agent Systems techniques, with application to Columbus User Support Oganisation," Future Generation Computer Systems, May 1992, Volume 7, Number 4, pp. 413- 437.
	CT	Mufit Ozden, "Intelligent Objects in Simulation," ORSA Journal on Computing, Fall 1994, Vol. 6, No. 4, pp. 329-341

EXAMINER	George Davis	DATE CONSIDERED	6/25/98

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	DA						
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FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION YES	NO
	DL							
	DM							
	DN							
	DO							
	DP							

OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)

	DR	~~Peter Gibbons et al, "Intelligent Agents in Multi-Media Systems," Sharp Technical Journal, December 1994,~~ Volume 60, pp. 11-14.
	DS	~~Cristiano Castelfranchi, "Guarantees for Autonomy in Cognitive Agent Architecture," Proceedings of ECAI-94 Workshop~~ on Agent Theories, Architectures, and Languages, Amsterdam, The Netherlands, August 8-9, 1994, pp. 56-70.
	DT	~~Devindra Weerasooriya et al, "Design of a Concurrent Agent-Oriented Language," Proceedings of ECAI-94 Workshop~~ on Agent Theories, Architectures, and Languages, Amsterdam, The Netherlands, August 8-9, 1994, pp. 386-401.

EXAMINER George Davis	DATE CONSIDERED 6/25/98

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	EA							
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FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER		DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION YES	NO
	EL								
	EM								
	EN								
	EO								
	EP								

OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)

	ER	Agostino Poggi, "DAISY: an Object-Oriented System for Distributed Artificial Intelligence," Proceedings of ECAI-94 Workshop on Agent Theories, Architectures, and Languages, Amsterdam, The Netherlands, August 8-9, 1994, pp. 341-354.
	ES	David Kinny et al, "Planned Team Activity," 4th European Workshop on Modelling Autonomous Agents in a Multi-Agent World, MAAMAW '92, S. Martino al Cimino, Italy, July 29-31, 1992, pp. 227-256.
	ET	Stephen Marsh, "Trust in Distributed Artificial Intelligence," 4th European Workshop on Modelling Autonomous Agents in a Multi-Agent World, MAAMAW '92, S. Martino al Cimino, Italy, July 29-31, 1992, pp. 94-112.

EXAMINER George Davis	DATE CONSIDERED 6/28/95

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FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB- CLASS	TRANSLATION	
							YES	NO
	FL							
	FM							
	FN							
	FO							
	FP							

OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)

	FR	~~Beerud Sheth et al, "Evolving Agents For Personalized Information Filtering," Proceedings of The Ninth Conference on~~ Artificial Intelligence for Applications," Orlando, Florida, March 1-5, 1993, pp. 345-352.
	FS	~~Tremaine A.O. Cornish et al, "What Has Mill to Say about Data Mining?" Proceedings of The 11th~~ Conference on Artificial Intelligence for Applications," Los Angeles, California, February 20-23, 1995, pp. 347-353.
	FT	~~Siegfried Bocionek, "Software Secretaries: Learning and Negotiating~~ Personal Assistants for the Daily Office Work," Proceedings of IEEE Int'l. Conf. on Systems, Man and Cybernetics, San Antonio, Texas, Oct. 2-5, 1994, Vol. 1, pp. 7-12.

EXAMINER	George Davis	DATE CONSIDERED	6/25/98

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FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION YES	NO
	GL							
	GM							
	GN							
	GO							
	GP							

OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)

	GR	~~Enrique D. Espinosa, "Intelligent Classroom Information Agent Multimedia Lab & Visual Guides for Datastructures II,"~~ Proceedings of the Int'l. Conf. on Multimedia Computing and Systems, Washington, D.C., May 15-18, 1995, pp. 302-305.
	GS	~~Rolf Pfeifer et al, "Distributed Adaptive Control: A Paradigm for Designing Autonomous Agents," Toward a Practice of~~ Autonomous Systems, Proceedings of the First European Conf. on Artificial Life, Paris, France, Dec. 1991, pp. 21-30.
	GT	~~Alison Cawsey et al, "A Comparison of Architectures for Autonomous Multi-Agent Communication," Proceedings of~~ 10th European Conference on Artificial Intelligence, Vienna, Austria, August 3-7, 1992, pp. 249-251.

EXAMINER	George Davis	DATE CONSIDERED	6/25/98

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FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB- CLASS	TRANSLATION	
							YES	NO
	HL							
	HM							
	HN							
	HO							
	HP							

OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)

	HR	~~Paul Kearney et al, "Emergent Behaviour in a Multi-Agent Economic Situation," Proceedings of 11th European Conference~~ on Artificial Intelligence, Amsterdam, The Netherlands, August 8-12, 1994, pp. 284-288.
	HS	~~Wayne Wobcke, "Reasoning about Action from the Perspective of Situation Semantics," Proceedings of the 6th Australian~~ Joint Conference on Artificial Intelligence, Melbourne, Australia, November 16-19, 1993, pp. 71-76.
	HT	~~Gunilla A. Sundstrom et al, "Cooperative Human-Computer Decision Making: An Experiment and Some Design~~ Implications," Proceedings of the Human Factors and Ergonomics Society 38th Annual Meeting, Nashville, Tennessee, October 24-28, 1994, pp. 220-224.

EXAMINER *George Davis*	DATE CONSIDERED 6/25/98

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FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION YES	NO
	IL							
	IM							
	IN							
	IO							
	IP							

OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)

	IR	~~T. Moody, "AT&T Personalink (SM) - A Public Network for Smart Agent Pies," IEE Colloquium on Roaming with Data,~~ London, UK, March 6 1995, Digest No. 1995/046.
	IS	~~Leeh Polkowski et al, "Introducing Rough Mereological Controllers: Rough Quality Control," Proceedings of~~ RSSC '94 3rd Int'l. Workshop on Rough Sets and Soft Computing, San Jose, California, Nov. 10-12, 1994.
	IT	~~Terence J. Parr et al, "A Language for Creating and Manipulating VRML," pp. 123-131, Symposium on the~~ VRML '95, San Jose, California, December 14-15, 1995.

EXAMINER	George Davis	DATE CONSIDERED	6/25/98

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	JA						
	JB						
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FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION YES	NO
	JL							
	JM							
	JN							
	JO							
	JP							

OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)

	JR	Joseph P. Bigus, "Data Mining with Neural Networks", McGraw-Hill Publishing Company, 1996.
	JS	David M. Chess, "Security Considerations in Agent-Based Systems," For the 1st Annual Conference on Emerging Technologies and Applications in Communications, Portland, Oregon, May 7-10, 1996.
	JT	

EXAMINER George Davis	DATE CONSIDERED 6/25/98

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